The Inspector General Assistance Function

“We’re here to help.”

Part I

Assistance Part 1

Your Assistance Instructor

- **MSG WILL MARTIN**
- **Room 2501**
- **(703) 805-3904**
- **DSN 655-3904**

Willie.Martin@ignet.army.mil

Administrative Notes

Assistance Part 1

- **Schedule**
  - **Assistance Function**
  - **Seven-Step Process**
  - **Practical Exercises**
  - **Guest speakers (Chief & XO, Asst Div)**
  - **Extended Practical Exercise**

- **Homework**
  - **Due by 0800 Day 7**

Administrative Notes
(Continued)

Assistance Part 1

- **Quiz**
  - **20-Question Quiz on Day 7**

- **Course Survey**
  - **I want to hear from you, but be specific**

References

- **The Assistance & Investigations Guide**
- **ST 2, Advance Sheets pages 10-11**
- **AR 20-1, *Inspector General Activities and Procedures***
- **AR 600-20, *Army Command Policy***
- **AR 608-99, *Family Support, Child Custody, and Paternity***

Enabling Learning Objectives (ELOs)

ST 2 pages 10-11

ELOs

1. **Describe the Seven-Step Inspector General Action Process (IGAP) used to receive, process, and resolve Inspector General Action Requests (IGARs).**

2. **Describe the process of receiving IGARs.**

ELOs

3. Describe the process of conducting IG Preliminary Analysis, to include:

(a) How to identify issues / allegations.
(b) How to determine if an IGAR is appropriate for IG action.
(c) How IGs acknowledge IGARs.
(d) How to select a course of action and obtain authority if necessary.

ELOs

4. **Describe the process of initiating referrals and making notifications.**

5. **Describe how IGs conduct Assistance Inquiries.**

6. **Describe the purpose of making notifications of results.**

7. **Describe the purpose of follow-up actions.**

ELOs

8. Describe how IGs close IGARs (coding, filing, and sending a final response) and what information an IG should normally provide to a complainant once the IG has resolved the complaint.

9. Identify who may submit a complaint to an IG.

ELOs

10. Describe the IG concept of confidentiality and what steps an IG should take if the IG must release a complainant's name during the course of an Inquiry or Investigation.

11. Describe the purpose and uses of the DA Form 1559 (IGAR).

ELOs

12. Identify who is authorized to release IG records for official use within Department of the Army channels and what records a local IG may release.

13. Identify who is authorized to release IG records outside of Army channels for non-official use and how to process such a request.

14. Identify who is authorized to release IG records for adverse action.

Assistance Part 1

ELOs

15. Describe the IG's role in resolving IGARs for which other formally established appeal channels exist.

16. Describe the procedure for processing IGARs presented more than 10 years after the event occurred.

ELOs

17. Describe the IG's role in receiving and resolving non-support cases.

18. Describe the commander's role in receiving and resolving non-support cases in accordance with Army Regulation 608-99.

ELOs

Assistance Part 1

19. Identify issues and allegations that are not appropriate for the IG, and describe how the IG must process those IGARs.

20. Describe the actions an IG should take when a complainant withdraws a complaint.

ELOs

Assistance Part 1

21. Demonstrate the process of receiving an IGAR by conducting an interview, asking the four fundamental questions, advising the complainant of the Privacy Act, and protecting confidentiality.

22. Complete a DA Form 1559 (IGAR).

23. Demonstrate the process of opening and closing an

Categories of IGs

AR 20-,1 para 2-2, P-9,

A&I Guide Sect. 1-3

Detailed Inspectors General

Assistance Part 1

- **Commissioned officers (not WO)**
- **Receive and process requests for assistance**
- **Conduct:**
  - **Inquiries**
  - **Investigations**
  - **Inspections**
- **Administer oaths**
- **Wear IG insignia (not in official photos)**

Assistant Inspectors General

Assistance Part 1

- **Chief Warrant Officer 2(P) and above**
- **Sergeant First Class and above NCOs**
- **Civilian employees (GS9 and up)**
- **Wear IG insignia (not in official photos)**
- **Administer oaths**
- **Receive and process requests for assistance**
- **Conduct IG inquiries**
- **Help detailed IG conduct**
  - **Investigations**
  - **Inspections**
- **Perform administrative duties**

Temporary Assistant Inspectors General

Assistance Part 1

- **Commissioned and warrant officers, enlisted soldiers, and Department of the Army Civilian**
- **Augment an IG inspection or investigation, Subject Matter Expert (SME)**
- **Approval:**
  - **<90 days: lowest level cdr authorized an IG**
  - **90-180 days: MACOM CG**
  - **>180 days: TIG**
- **Training:**
  - **<180 days: Command IG**
  - **>180 days: IG course**

Acting Inspectors General

Assistance Part 1

- **Commissioned officers**
- **Appointed by MACOM commander as additional duty**
- **Trained and sworn by a detailed IG**
- **<u>Only</u> provide assistance**
- **Must forward all IG records to detailed IG**
- **Typically assigned for geographically separated units**
- **More restrictions in AR 20-1, para 2-2f**

Other IGs: Unwilling and Unable

Assistance Part 1

- **Don’t do their jobs correctly**
  - **Slept through IG course**
- **Take sides during inquiry**
- **Fail to assist complainants**
- **Do not take care of commander, soldiers, the chain of command, or the Army**

Other IGs: Relieved IG

- **Relieved**
  - **Pretend to be commanders**
  - **Release IG records without authority**

- **In the past, we drew a mustache on the relieved IG in their class photo**
- **With the advent of the digital age, we just edit them out**

A Recent IG Class

Assistance Part 1

IG Class 02-XX

Assistance Part 1

U.S. Army Inspector

The Assistance Function

Assistance Part 1

- **Render assistance**
- **Correct injustices (indirectly)**
- **Eliminate conditions detrimental to the efficiency or reputation of the Army**
- **Record and analyze data for corrective action**
- **Report on the status of the Army**

The Assistance Function

Assistance Part 1

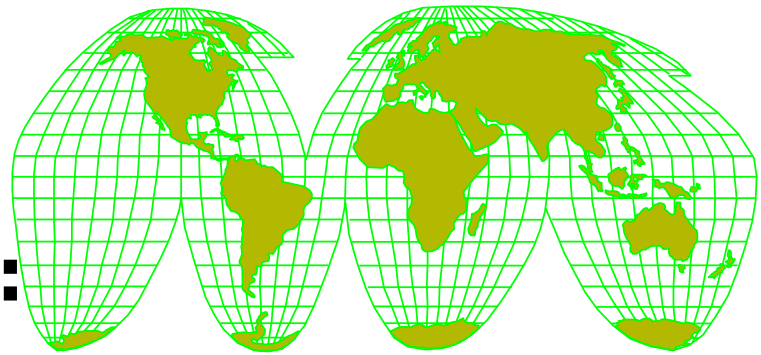
- **Major contributor to the IG workload**
- **Complements inspections and investigations**
- **Teaching and trainin**

The Assistance Function Across the Army

- **Assistance and Investigations (A & I) usually combined**
  - **At DA and MACOMs, normally consist of COL and below; GS15 and below**

AR 20-1, para 7-7

Assistance



- **Area basis**
- **The process of:**
  - **Receiving**
  - **Inquiring into**
  - **Responding to:**
    - **Complaints**
    - **Requests for information**
    - **Requests for help**
      - **Presented or referred to an IG**

IGARs

IGAR = Inspector General Action Request

Sources of IGARs

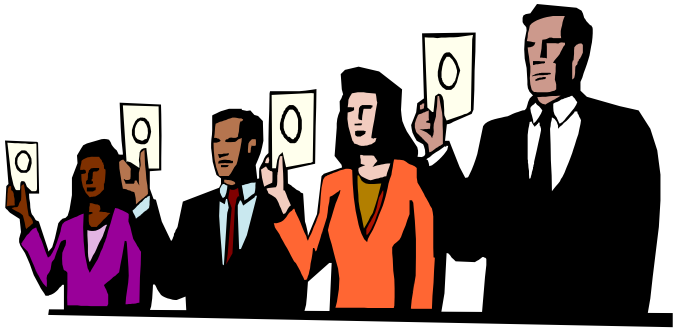
Assistance Part 1

- **Soldiers (Active & Reserve)**
- **Anonymous**
- **Department of Army Civilians**
- **Family Members**
- **Retirees/Veterans**
- **Commanders**
- **Other Services**
- **Government Agencies**
- **Civilian-Civilians**
- **Media**
- **Contractors**
- **Third Parties**
- **Referrals from:**
  - **Other IGs**
  - **Congress**
  - **White House**

Bottom Line

ELO

Anyone can submit an IG complaint



- **No precondition for coming to the IG**

AR 20-1, para 4-2

DA Form 1559 (IGAR)

ELO

Assistance Part 1

- **Base control document**
- **Documents workload**
- **Identify trends**
- **Identify systemic issues**

INSPECTOR GENERAL ACTION REQUEST

For use of this form, see AR 20-1; the proponent agency is the OIG

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: Title 10, USC, Section 3020.

PRINCIPAL PURPOSE: To secure sufficient information to make inquiry into the matters presented and to provide response to the requester(s) and/or take action to correct deficiencies.

ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complaints or respond to requests for assistance, advice or information; by Members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Army; and in certain cases in trial by court martial other military matters as authorized by the Uniform Code of Military Justice.

DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY. HOWEVER, FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTER, ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTER.

LAST NAME - FIRST NAME - MIDDLE INITIAL	GRADE	SSN	DUTY TELEPHONE

COMPLETE PRESENT MILITARY ADDRESS *(If no military address, state current civilian address, including Zip Code.)*

SPECIFIC ACTION REQUESTED

INFORMATION PERTAINING TO THIS REQUEST *(Use additional sheets if necessary; list enclosures if applicable.)*

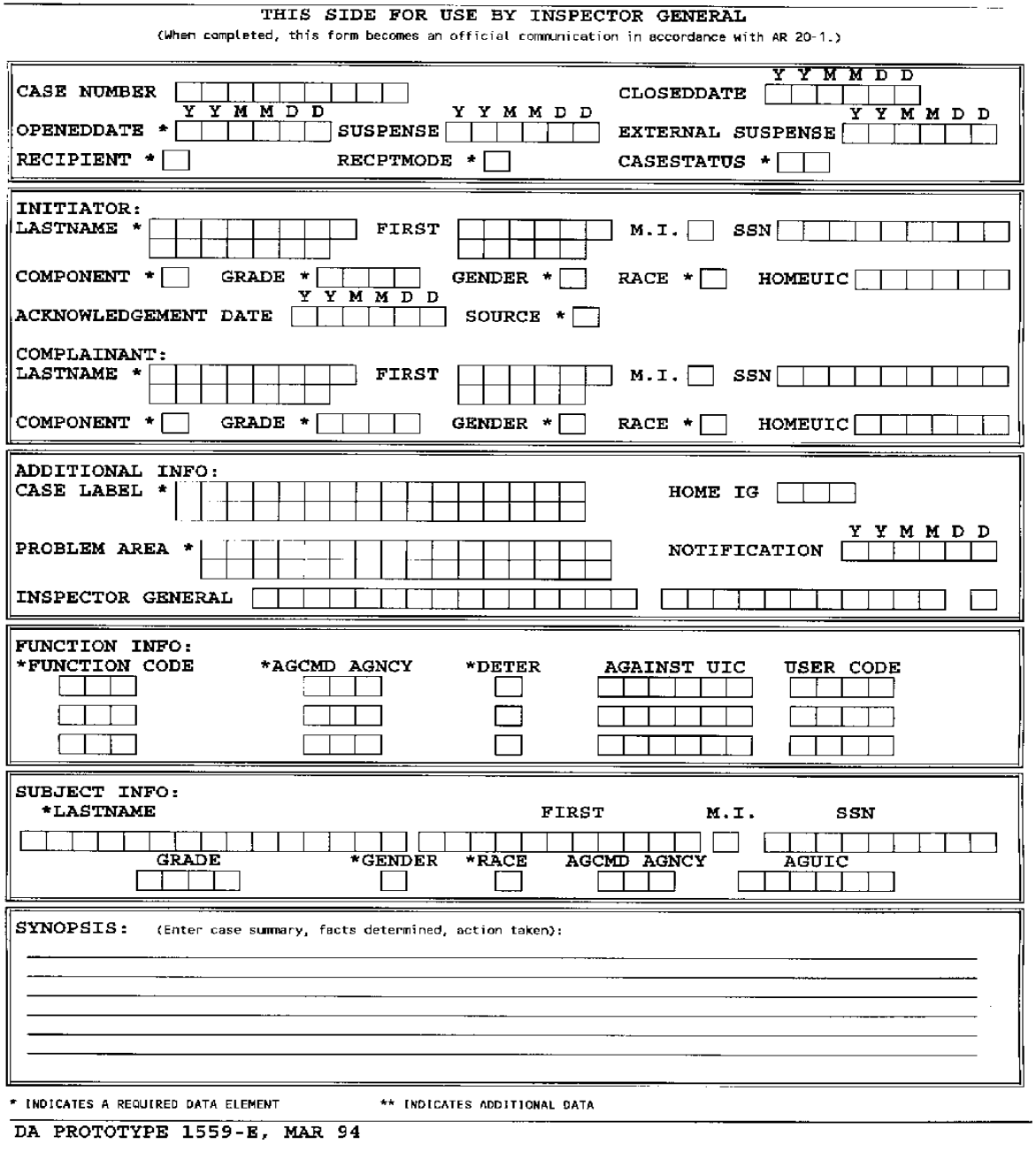
Be sure to get a good phone #

What do you want the IG to do for you?

A&I Guide, Sect. 1-7-1

Assistance Part 1

Here's the Database Hard-copy Blank 1559



THIS SIDE FOR USE BY INSPECTOR GENERAL

(When completed, this form becomes an official communication in accordance with AR 20-1.)

CASE NUMBER

CLOSEDDATE Y Y M M D D

OPENEDDATE * Y Y M M D D

SUSPENSE Y Y M M D D

EXTERNAL SUSPENSE Y Y M M D D

RECIPIENT *

RECPTMODE *

CASESTATUS *

INITIATOR:

LASTNAME * FIRST M.I. SSN

COMPONENT * GRADE * GENDER * RACE * HOMEUIC

ACKNOWLEDGEMENT DATE Y Y M M D D SOURCE *

COMPLAINANT:

LASTNAME * FIRST M.I. SSN

COMPONENT * GRADE * GENDER * RACE * HOMEUIC

ADDITIONAL INFO:

CASE LABEL * HOME IG

PROBLEM AREA * NOTIFICATION Y Y M M D D

INSPECTOR GENERAL

FUNCTION INFO:

*FUNCTION CODE *AGCMD AGNCY *DETER AGAINST UIC USER CODE

SUBJECT INFO:

*LASTNAME FIRST M.I. SSN

GRADE *GENDER *RACE AGCMD AGNCY AGUIC

SYNOPSIS: (Enter case summary, facts determined, action taken):

* INDICATES A REQUIRED DATA ELEMENT ** INDICATES ADDITIONAL DATA

DA PROTOTYPE 1559-E, MAR 94

A&I Guide, Sect. 1-7-2

Summary

1. Define "Detailed IG" and explain what functions they can conduct. (slide #18)

2. Define "Assistant IG" and explain what functions they can conduct. (slide #19)

3. Define "Temporary IG" and explain what functions they can conduct. (slide #20)

4. Define "Acting IG" and explain what functions they can conduct. (slide #21)

Summary

(Continued)

5. Define Assistance. (slide #29)

6. Who may submit an IG complaint? (slide #31)

7. What is the purpose and use of DA Form 1559? (slide #32)

The Seven-Step IGAP

Assistance Part 1

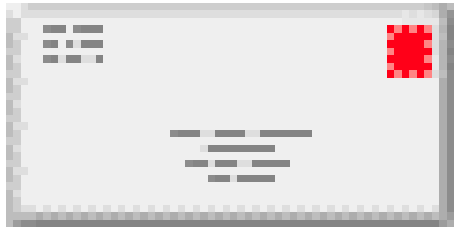
1. **Receive**
2. **Preliminary analysis (Issues / allegations, IG appropriate, acknowledge receipt, COA)**
3. **Refer & Notify**
4. **Fact-Finding**
5. **Notify**
6. **Follow-up**
7. **Close (Final reply, IGARs, reports, trends)**

STEP 1: Receive the IGAR

ELO

Assistance Part 1

- **IGARs come from the <u>in</u> crowd:**
  - **Walk-in**
  - **Call-in**
  - **Write-in**
  - **Email-in**
  - **In the Gym / PX**

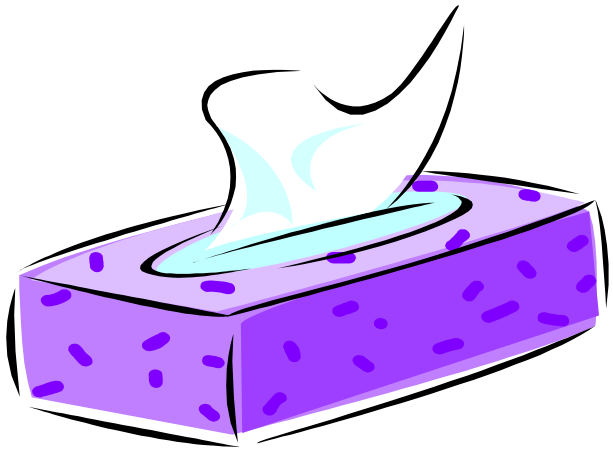


AR 20-1, para 4-2

STEP 1: Receive the IGAR Walk-ins

Assistance Part 1

- **Private area**
- **Put complainant at ease**
  - **Tissue optional but recommended**
- **Actively listen**
- **Maintain control**



AR 20-1, para 4-2e

A&I Guide Sect. 2-1-1

STEP 1: Receive the IGAR Walk-ins Cont'd

Assistance Part 1

- **Remember: There are at least three sides to every story**
  - **Complainant**
  - **Other guy**
  - **Truth**

- **Don't**
  - **Buy in**
  - **Be an advocate**
- **Stay neutral**

STEP 1: Receive the IGAR Walk-Ins Cont'd

ELO

Assistance Part 1

- **Determine action desired:**

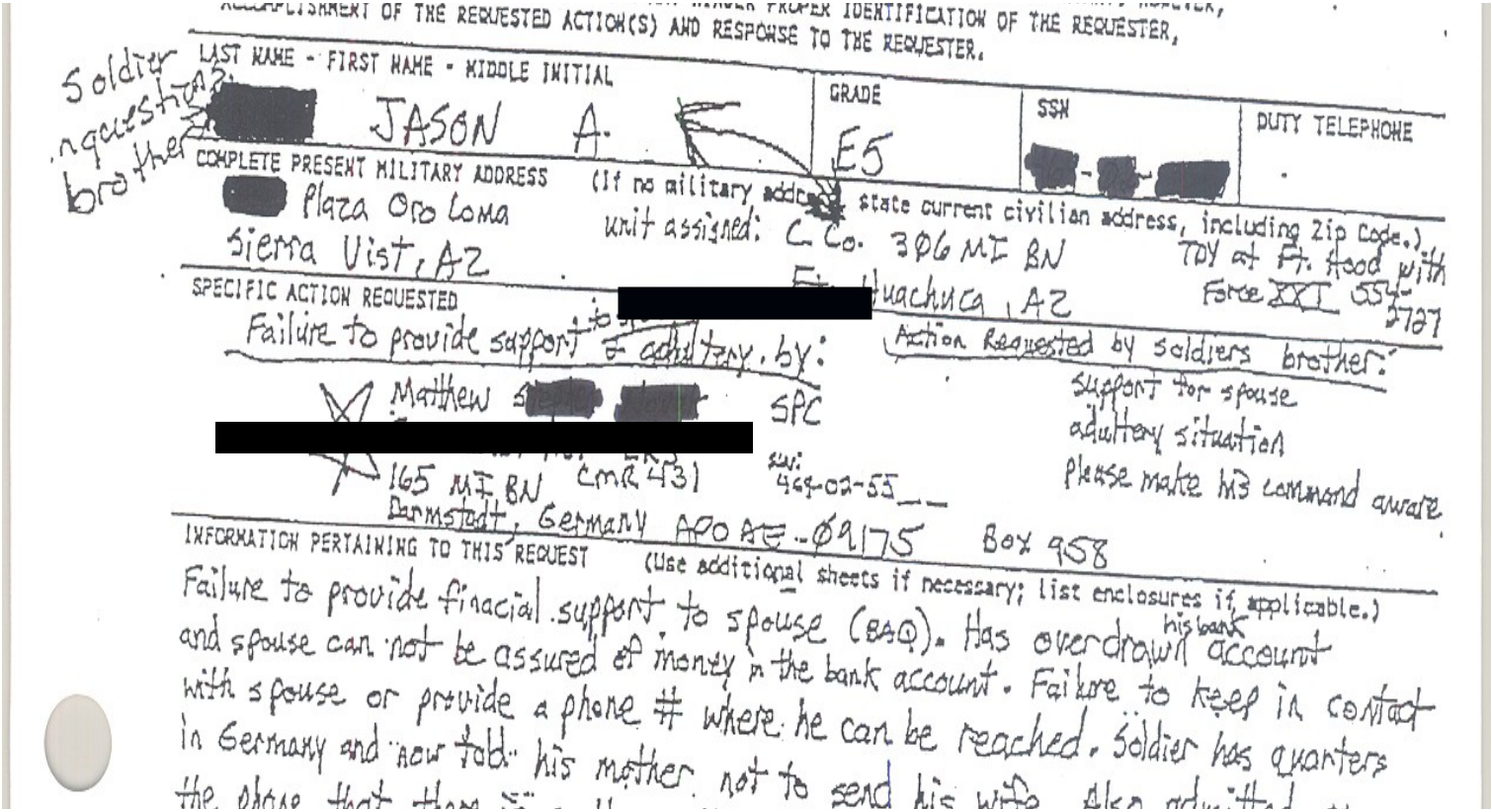
1. **What do you want the IG to do for you?**
2. **Do you have any supporting documentation?**
3. **Have you asked for assistance from any other agencies?**
4. **Is the chain of command aware of the problem?**

STEP 1: Receive the IGAR Walk-Ins Cont'd

Assistance Part 1

- **Complete the DA Form 1559**
- **Advise of Privacy Act**
  - **Disclosure of SSN is voluntary, but unless needed to resolve is**
- **IGs can assist in draftin**
- **Read back and clarify t ensure issues are understood**
- **Have complainant sign**

Poorly Written 1559s



ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTER.

Soldier requesting assistance: brother

LAST NAME - FIRST NAME - MIDDLE INITIAL: [redacted] JASON A.

GRADE: E5

SSN: [redacted]

DUTY TELEPHONE:

COMPLETE PRESENT MILITARY ADDRESS (If no military address, state current civilian address, including Zip Code.)

[redacted] Plaza Oro Loma
Sierra Vist, AZ

unit assigned: C Co. 306 MI BN
Fr Huachuca, AZ

TDY at Ft. Hood with Force XXI 554-2787

SPECIFIC ACTION REQUESTED

Failure to provide support to adultery. by:

Matthew [redacted] SPC

[redacted]

165 MI BN CMR 431
Darmstadt, Germany APO AE 09175 Box 958

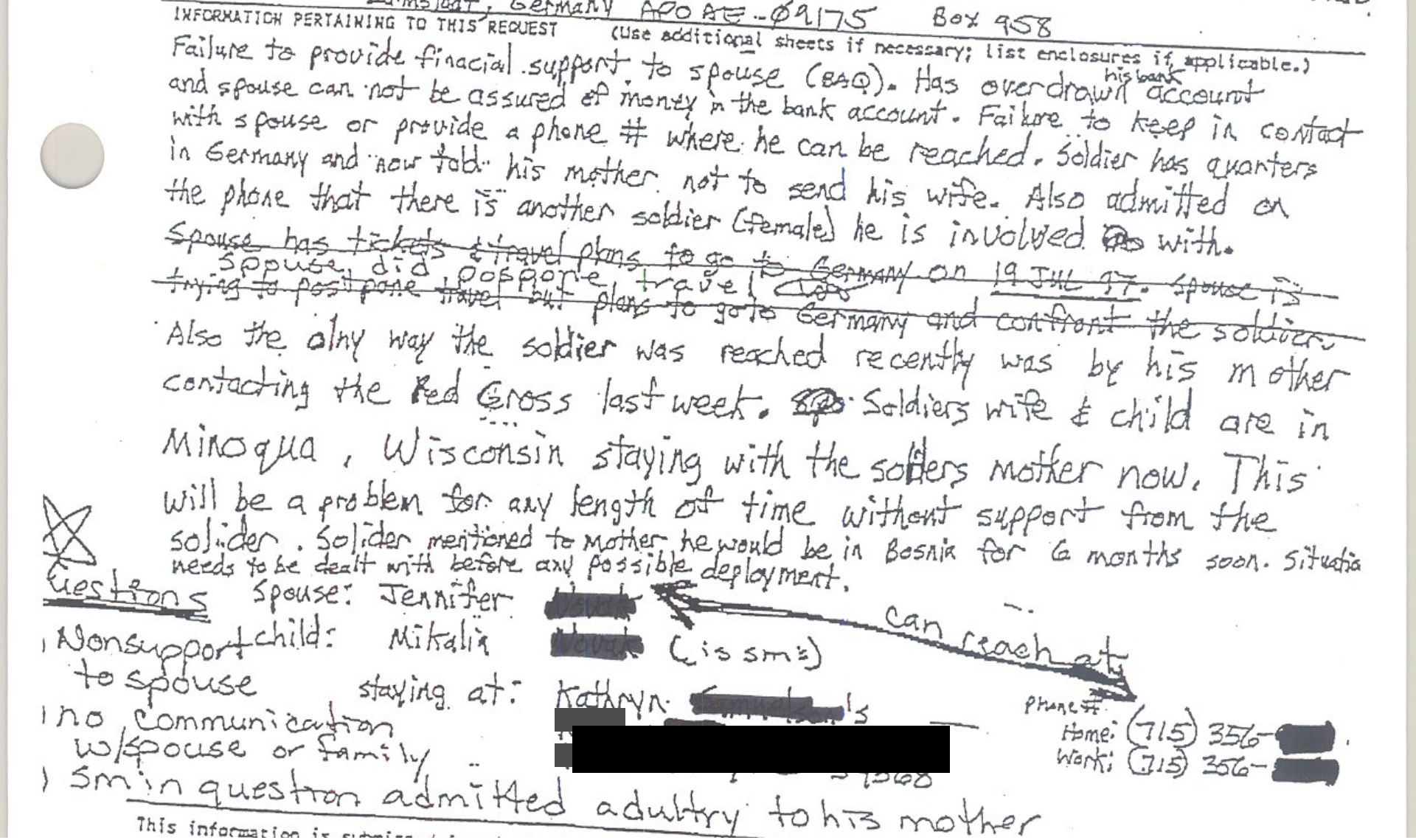
SSN: 464-02-55[redacted]

Action Requested by soldiers brother:
support for spouse
adultery situation
Please make his command aware

INFORMATION PERTAINING TO THIS REQUEST (Use additional sheets if necessary; list enclosures if applicable.)

Failure to provide finacial support to spouse (ESO). Has overdrawn his bank account and spouse can not be assured of money in the bank account. Failure to keep in contact with spouse or provide a phone # where he can be reached. Soldier has quarters in Germany and now told his mother not to send his wife [illegible]

- **Who is the complainant? What's his status?**
- **What's his duty phone number?**
- **What does he want the IG to do for him?**


INFORMATION PERTAINING TO THIS REQUEST (Use additional sheets if necessary; list enclosures if applicable.)
Box 958
Failure to provide finacial support to spouse (essO). Has overdrawn his bank account and spouse can not be assured of money in the bank account. Failure to keep in contact with spouse or provide a phone # where he can be reached. Soldier has quarters in Germany and now told his mother not to send his wife. Also admitted on the phone that there is another soldier (female) he is involved with.
Spouse has tickets & travel plans to go to Germany on 19 JUL 97. Spouse is trying to postpone travel but plans to go to Germany and confront the soldier.
spouse did postpone travel
Also the only way the soldier was reached recently was by his mother contacting the Red Cross last week. Soldiers wife & child are in Minoqua, Wisconsin staying with the soldiers mother now. This will be a problem for any length of time without support from the solider. Solider mentioned to mother he would be in Bosnia for 6 months soon. Situation needs to be dealt with before any possible deployment.
Questions
Spouse: Jennifer
Nonsupport child: Mikalia (is sm's)
to spouse
staying at: Kathryn
can reach at
Phone #:
Home: (715) 356-
Work: (715) 356-
no communication w/spouse or family
SM in question admitted adultry to his mother
This information is

- **Can you readily grasp the information pertaining to this request?**
- **Receiving IG should have rewritten the IGAR**

STEP 1: Receive the IGAR Walk-Ins Cont'd

Assistance Part 1

- **End the interview without commitment, except that:**
  - **We will look into the matter**
  - **We will provide a response, (if not 3rd party)**
  - **Complainant may have copy the 1559**

STEP 1: Receive the IGAR Call-Ins

Assistance Part 1

- **Ask for written follow-up if necessary**
  - **Supporting documents**
- **Read Privacy Act**
- **Read back the 1559**
- **Write "<u>telephone</u>" in signature block of the 1559**

AR 20-1, para 4-2f

A&I Guide Sect. 2-1-2

STEP 1: Receive the IGAR Write-Ins

Assistance Part 1

- **No need to transfer information to DA Form 1559**

INSPECTOR GENERAL ACTION REQUEST

For use of this form, see AR 20-1; the proponent agency is the OIG

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: Title 10, USC, Section 3020.
PRINCIPAL PURPOSE: To secure sufficient information to make inquiry into the matters presented and to provide response to the requester(s) and/or take action to correct deficiencies.

ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complaints or respond to requests for assistance, advice or information; by Members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Army; and in certain cases in trial by court martial other military matters as authorized by the Uniform Code of Military Justice.

DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY. HOWEVER, FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTER, ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTER.

LAST NAME - FIRST NAME - MIDDLE INITIAL	GRADE	SSN	DUTY TELEPHONE

COMPLETE PRESENT MILITARY ADDRESS *(If no military address, state current civilian address, including Zip Code.)*

SPECIFIC ACTION REQUESTED

See attached letter

INFORMATION PERTAINING TO THIS REQUEST *(Use additional sheets if necessary; list enclosures if applicable.)*

See attached letter

AR 20-1, para 4-2g

A&I Guide Sect. 2-1-3

STEP 1: Receive the IGAR Anonymous

Assistance Part 1

- **Process like any other IGAR**
- **Don’t try to figure out who it**
- **If insufficient information, close the case**
- **Substantiation rate for anonymous allegations is slightly higher than signed IGARs**

AR 20-1, para 4-2h; A&I Guide Sect. 2-1-5

STEP 1: Receive the IGAR Email

Assistance Part 1

- **Reply to complainant and request an address and phone number**
  - **Use a generic subject line**
    - **"Your Email"**
    - **NOT "Your IG Complaint"**

- **Do not discuss case by email**
  - **Email is not secure**

AR 20-1, para 4-2g; A&I Guide Sect. 2-1-

STEP 1: Receive the IGAR Confidentiality

ELO

Assistance Part 1

- **Ethically comparable to the doctor-patient relationship**

- **Need not be specifically requested**

- **Not guaranteed**

AR 20-1, para 1-12

Confidentiality is Not Guaranteed

ELO

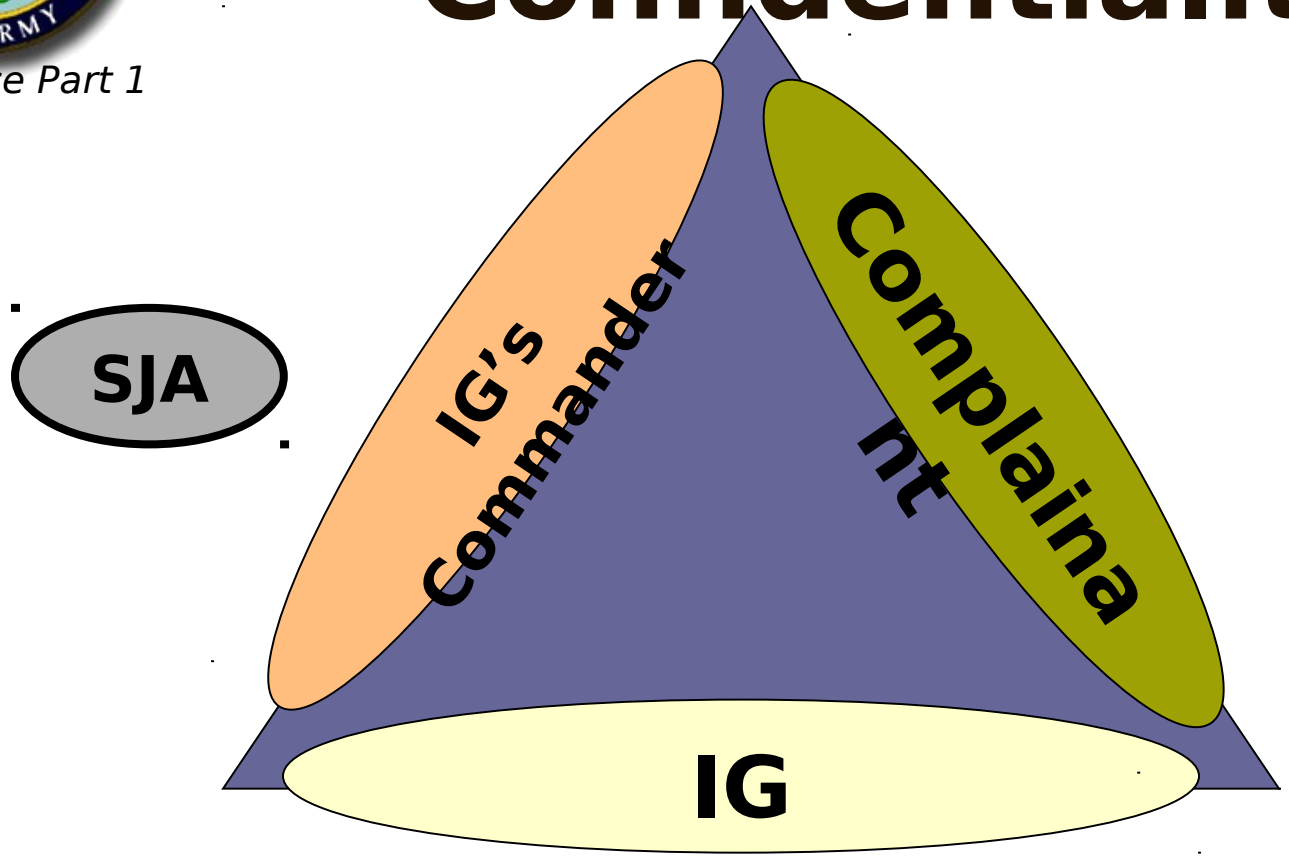
Assistance Part 1

- **Nature of the issue**
- **Official use within the Army**
- **By direction of TIG**
- **Legal proceedings (call DAIG Legal)**

- **If unavoidable, try to contact complainant before disclosure**

AR 20-1, para 1-12; A&I Guide pg. I-2-1-1-

Triangle of Confidentiality



- Protect privacy
- Minimize risk of reprisal
- Maintain confidence in the IG system

AR 20-1, para 1-12

STEP 2: Conduct IG PA

Assistance Part 1

ELO

- **A thought process to determine how best to proceed, may take <u>minutes</u> / <u>hours</u> / <u>days</u>**

- **4 Sub-Steps of Preliminary Analysis**
  - **Identify issues / allegations**
  - **Appropriate for IG action**
  - **Acknowledge receipt**
  - **Select COA**

AR 20-1, para 4-3; A&I Guide Sect. 2-2-1

STEP 2: Conduct IG TA

Assistance Part 1

Identify Issues / Allegations

- **Identify all matters, to include:**

- **– *Issue*, a point in question of law or fact.**
- **– *Allegation*, the act of alleging or asserting positively, often before a court.**
- **–**
  - **Complaints**
  - **Requests for assistance**

AR 20-1, para 4-3; A&I Guide Sect. 2-2-1-

STEP 2: Conduct IG TA

Assistance Part 1

Identify Issues / Allegations

- **An Allegation contains four parts:**
  - **Who**
  - **"Improperly"**
  - **Did what**
  - **"In violation of" an established standard.**
- **IG formulates the allegation (outcome *is either SUBSTANTIATED or NOT SUBSTANTIATED*)**
- ***If there's no "who", it's an ISSUE!***
- ***DAIG uses the terms FOUNDED and UNFOUNDED for concluding issues***

AR 20-1, para 4-4; A&I Guide Sect. 2-2-1-

Assistance Part 1

Properly Worded Allegations?

- **SGM Butts improperly drinks too much on duty.**
- **CPT Knight began harassing SSG Mendez in the September time frame.**
- **LTC Bailey improperly relieved CPT Knight in violation of AR 600-20.**
- **The finance office improperly failed to process my TDY voucher in a timely manner in violation of 66th ID Finance Battalion SOP.**

Assistance Part 1

Identify Issues / Allegations

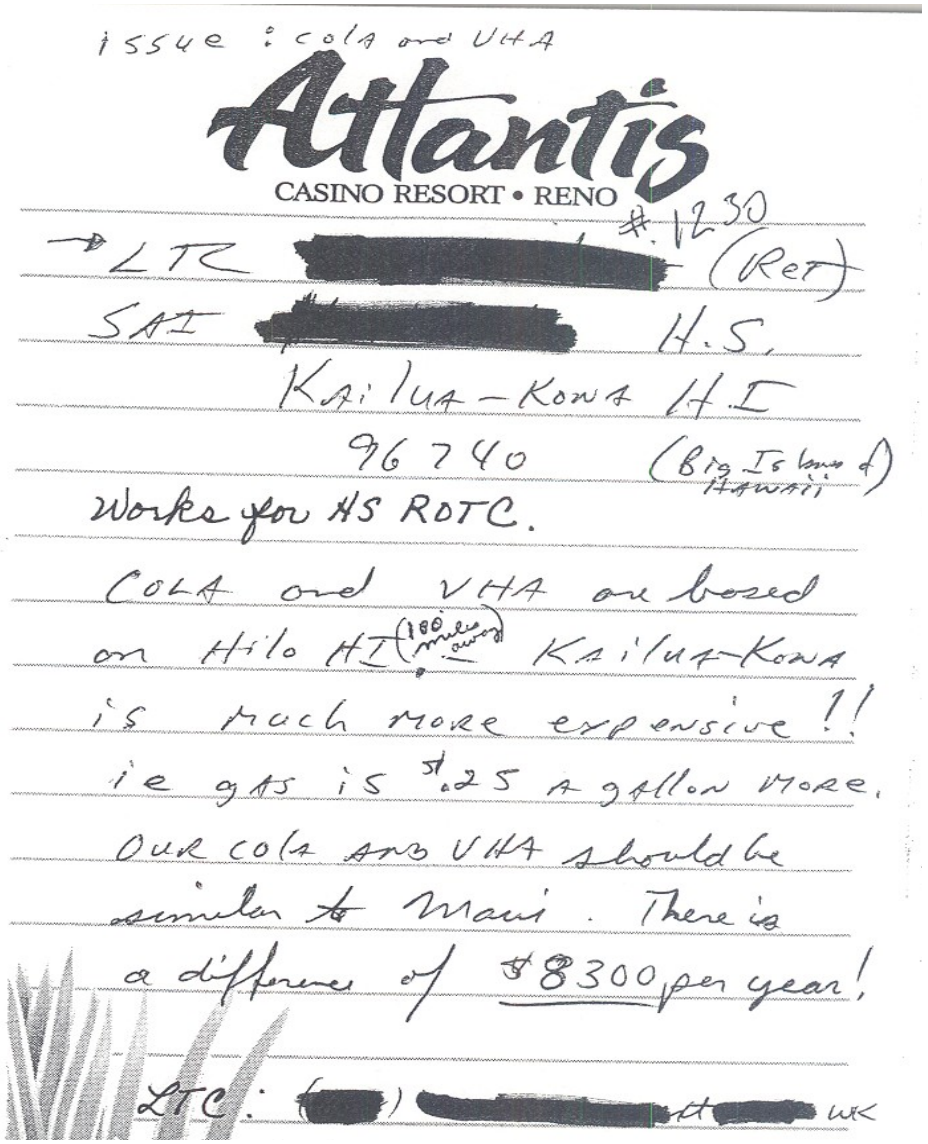
- **Complaint: an expression of dissatisfaction or discontent with a process or system**
  - **"Privates should get paid the same BAH as officers."**

AR 20-1, para 4-4

Assistance Part 1

Reno IGAR

- **Is this an:**
  - **Allegation?**
  - **Issue?**
  - **Complaint?**
- **Receiving IG should have transferred the information to a DA Form 1559**


issue: cola and VHA

Atlantis
CASINO RESORT • RENO

#12.30

→ LTR [redacted] (Ret)

SAI [redacted] H.S.

Kailua-Kona HI

96740 (Big Island of Hawaii)

Works for HS ROTC.

COLA and VHA are based on Hilo HI (100 miles away) Kailua-Kona is much more expensive!! ie gas is $.25 a gallon more. Our cola and VHA should be similar to Maui. There is a difference of $8300 per year!

LTC: ([redacted]) [redacted] WK

STEP 2: Conduct IG TA

Assistance Part 1

Identify Issues / Allegations

- **If the matter is Army related, you decide:**
  - **What is appropriate for the IG to work**
  - **Or refer to:**
    - **Chain of command**
    - **Other agencies**
    - **Other IGs**

AR 20-1, para 4-4

STEP 2: Conduct IG TAI

Assistance Part 1

Identify Issues / Allegations

- **IGs should always look for:**
  - **Larger issues**
  - **Implied allegations**
  - **Systemic problems**
  - **Condoning of wrongdoing**

AR 20-1, para 4-4

Assistance Part 1

STEP 2: Conduct IG PA: Determine IG Appropriateness

- **Many matters raised to an IG may not be appropriate for the IG to work**

AR 20-1, para 4-4; A&I Guide Sect. 2-2-2

STEP 2: Conduct IG PA: Determine IG Appropriateness

Assistance Part 1

- **Don’t automatically categorize the whole IGAR as not IG appropriate.**
  - **For example, a criminal complaint will be referred to Military Police Investigations (MPI) for action. However, there may be other issues within the overall complaint that the IG continues to work.**
  - **Remember to look for systemic issues.**

AR 20-1, para 4-4; A&I Guide Sect. 2-2-2

STEP 2: Conduct IG PA

Assistance Part 1

Acknowledge Receipt

- **May be *verbal or written***
- **Advise that you have received the IGAR**

- **If issue is appropriate for IG**
  - **AND complainant has right to know:**
    - **Inform individual that you will provide a response**
  - **BUT the complainant is not directly affected**
    - **Send a third party response thanking them for their concern telling them that you will look into the matter**

AR 20-1, para 4-5; A&I Guide Sect. 2-2-3

Third Party IGARs

Assistance Part 1

- **Response to third party depends on:**
  - **Right to know**
  - **Individual concerned consents to release of information**

AR 20-1, para 4-5; A&I Guide Sect. 2-2-3-2

STEP 2: Conduct IG PA Acknowledge Receipt

- **Issue is not appropriate for IG:**
  - **Acknowledge receipt of the IGAR**
  - **Inform the complainant why not appropriate**
  - **Give information on the appropriate office that can address the issue**
    - **Forward to that agency if possible**
    - **Some agencies require certain formats**
      - **Example: Army Board for Correction of Military Records (ABCMR) requires submissions on DD Form 149, *Application for Correction of Military Record***

STEP 2: Conduct IG PA
Selection of Course of Action

- **This sub-step applies after a determination that the matters of concern are proper for IG involvement**
  - **Inspection**
  - **Assistance Inquiry**
  - **Investigative Inquiry**
  - **Investigation**

AR 20-1, para 4-5b; A&I Guide Sect. 2-4-

STEP 2: Conduct IG PA Assistance Part 1

- **After you've completed IG PA, open a new case in the IGARs database**

- **See A&I Guide, Chap.**

Summary

- In what step of the seven-step IGAP process do you receive the IGAR? (slide #37)

- When receiving the IGAR, what are the four questions you ask the complainant? (slide #41)

- How do we refer to confidentiality in the IG system?

- Do IGs ever guarantee confidentiality? (slide #52)

- What are the four sub-steps to IGPA? (slide #55)

Assistance Part 1

STEP 3: Initiate Referrals and Make Notifications

ELO

- **Matters that are not IG appropriate are referred to the proper agency, and the IG case is closed.**
  - **Exception: matters referred to the chain of command. In that instance, the IG will monitor the case after the referral is made to ensure the chain of command takes proper action.**

AR 20-1, para 4-6a; A&I Guide Sect. 2-3

STEP 3: Initiate Referrals and Make Notifications

Assistance Part 1

- **Notifications are part of the investigative inquiry and investigation process.**

- **Wait for the Inquiries and Investigations block of instruction to hear all about it!**

AR 20-1, para 4-6a; A&I Guide Sect. 2-3

STEP 4 : Conduct IG Fact-Finding

ELO

- **IG Fact-Finding consist of:**
  - **Assistance Inquiry (No permission needed)**
  - **Investigative Inquiry (No permission needed)**
  - **Investigation**
  - **Inspection**

A&I Guide Sect. 2-4

STEP 4 : Conduct IG Fact-Finding

- **ASSISTANCE INQUIRY**
  - **An <u>informal</u> fact-finding process used to address or respond to a complaint involving a request for help, information, or issues and not allegations of impropriety or wrongdoing.**

AR 20-1, para 4-7; A&I Guide Sect. 2-4-2

STEP 4 : Conduct IG Fact-Finding

Assistance Part 1

- **INVESTIGATIVE INQUIRY:** an <u>informal</u> fact-finding process by detailed IGs into allegations, issues, or adverse conditions.

- **INVESTIGATION:** a formal fact-finding process conducted by detailed IGs into allegations, issues, or adverse conditions.

AR 20-1, para 4-7; A&I Guide Sect. 2-

STEP 4 : Conduct IG Fact-Finding

Assistance Part 1

- **IG INSPECTION:**
  - **Led by a detailed IG, oriented toward the identification of problems, determination of their root causes, development of possible solutions, and assignment of responsibilities for correcting the problems.**
  - **Focuses on systemic issues rather than on units.**
  - **Scope and content determined by the IG's commander.**

AR 20-1, para 4-7; A&I Guide Sect. 2-4-5

STEP 5: Make Notifications of Results

ELO

- **If assistance was provided, provide the complainant information pertaining directly to him / her.**

- **For investigative inquiries or investigations you must also notify the suspect / subject and commander of the results.**

AR 20-1, para 4-8; A&I Guide Sect. 2-5

STEP 6: Conduct Follow-up

ELO

Assistance Part 1

- **Ensure issues were thoroughly addressed**
- **Ensure IG responsibilities fulfilled**
- **IG can contact complainant**
  - **Or have the complainant contact the IG (not the best technique)**
  - **Or [redacted] future inspection**

AR 20-1, para 4-9; A&I Guide Sect. 2-6

STEP 7: Close the IGAR

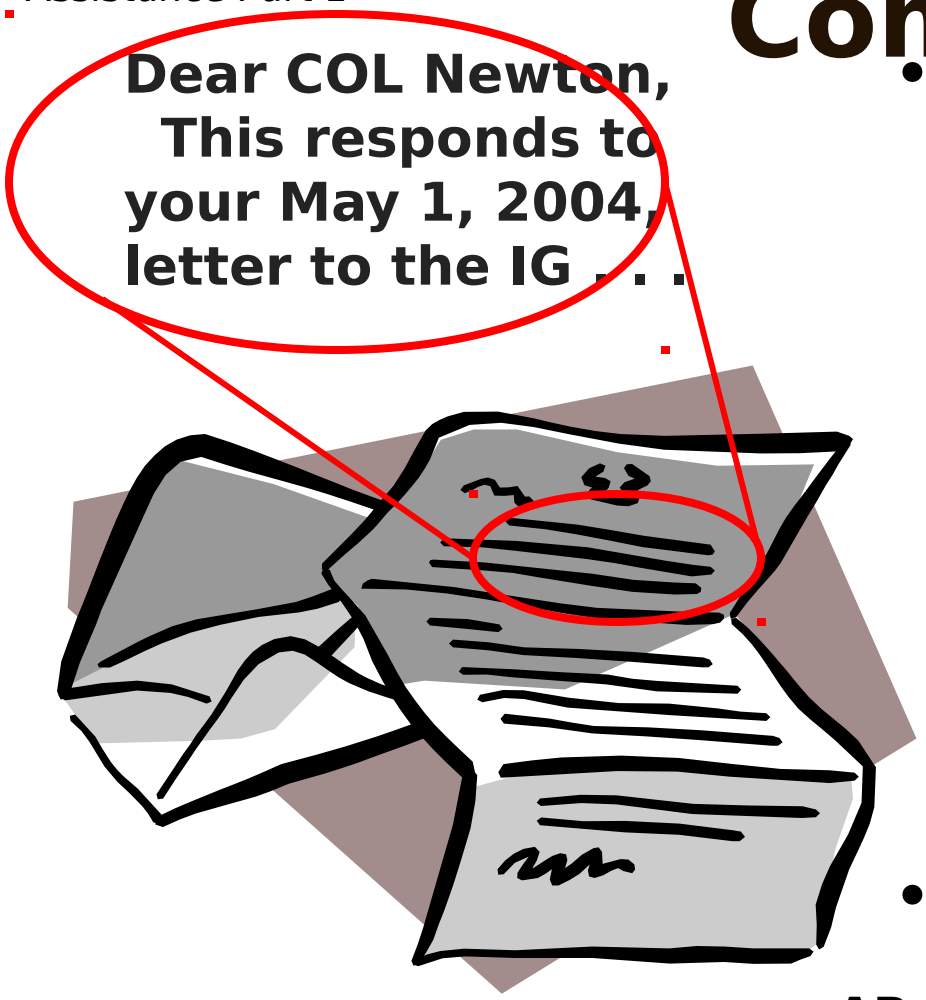
ELO

1. Provide complainant a final reply
2. Close the file in IGARs database
3. Make appropriate reports
4. Analyze developing trends

AR 20-1, para 4-10; A&I Guide Sect. 2-7

STEP 7 – Close the IGAR
Final Reply to Complainant

Assistance Part 1



- **Prepare a response to the complainant:**
  - **Address the complaint**
  - **Summarize the facts and conclusions that pertains to complainant**
  - **Maintain confidentiality**

- **Should be in writing**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-

STEP 7: Close the IGAR

Final Reply to Complainant

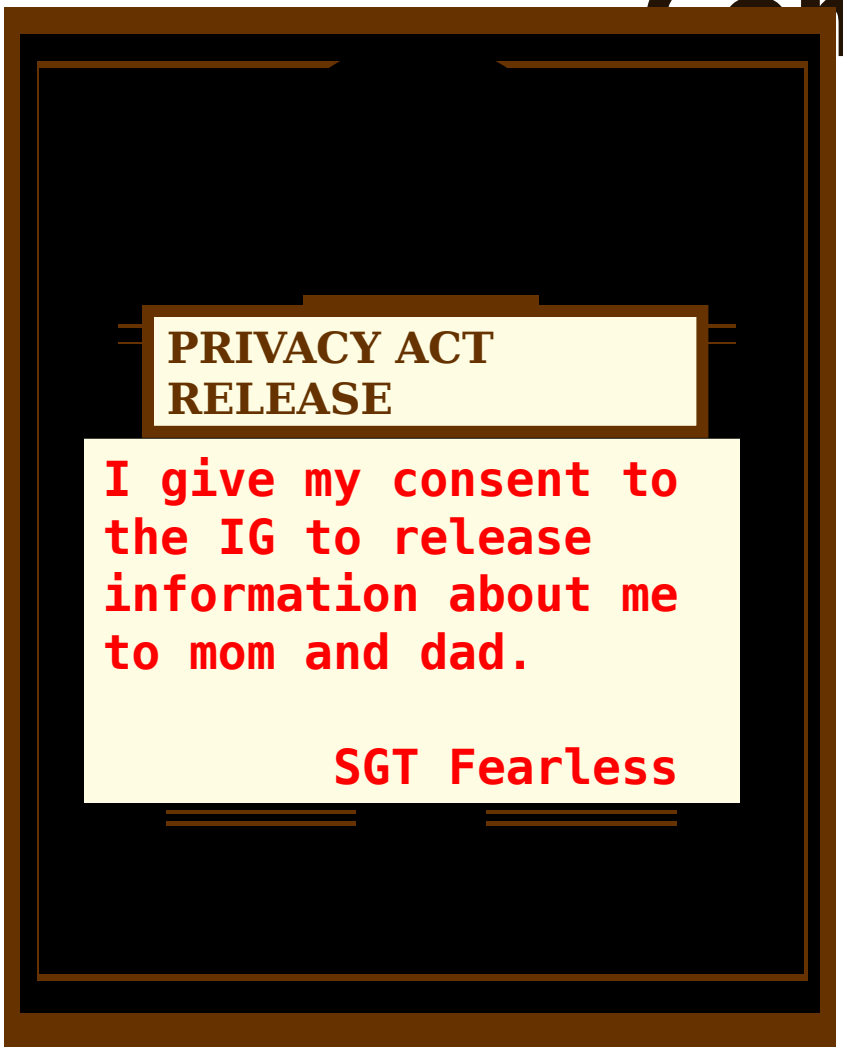
- **Replies normally should <u>not</u> contain:**
  - **Classified information**
  - **Information / documents from outside agencies without their permission**
  - **Identity of sources or techniques used**
  - **All information surfaced**
  - **Results of disciplinary action**
  - **Information that violates privacy of others**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-

STEP 7: Close the IGAR

Final Reply to Complainant

Assistance Part 1



- **Third-party complaint**
  - **Privacy Act release Sample in A&I Guide, Sect. 2-2-3-2**
  - **No right to know results of an assistance inquiry if the issues do not directly pertain to complainant.**

STEP 7: Close the IGAR
Close the Case in IGARs

Assistance Part 1

- **Code the case IAW the IGNET manual**
- **Enter the function code that best describes each issue or allegation**
  - **Be as specific as possible**
  - **Accurate entries make the database useful and the information gleaned from it meaningful.**
  - **First, identify the major functional area.**
    - **Under each functional area are the codes for the categories (2 characters) and subcategories (3 characters).**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-

Function Codes Major Areas

Assistance Part 1

- **A - Acquisition**
- **B - Resource Management**
- **C - Information Systems**
- **D - Supply**
- **E - Engineer/Facilities**
- **F - Force Development**
- **G - Maintenance**
- **H - Health Care**
- **I - Intelligence**
- **J - Legal**
- **K - Finance &Accounting**
- **L - Transportation**
- **M - Manpower Management**
- **N - Personnel Mgmt-Military**
- **O - Personnel Mgmt-Civilian**
- **P - Operations**
- **Q - Community/Install Support**
- **R - Res/Devel/Test/Eval (RDTE)**
- **S - Services**
- **T - Training**
- **U - Insp/Audits/Assist/Invest**
- **V - Nuclear & Chem Tech Insp**
- **W - Public Affairs**
- **X - Law Enforcement/Security**
- **Y - Cmd/Mgmt of Organizations**
- **Z - Personal Conduct**

Zulu Function Codes

Assistance Part 1

- **Z Personal Conduct**
  - **ZA Discrimination**
  - **ZB Harassment/Maltreatment**
  - **ZC Standards of Conduct/Ethics**
  - **ZD Other UCMJ/Crim Violations**
  - **ZE Recruiter Impropriety**
  - **ZF Privacy Act Violation**
  - **ZG Uniform Standards**
  - **ZH AWOL**
  - ***ZI Unoff Use of Govt Resources***
  - **ZZ Personal Conduct (Other)**

Assistance Part 1

ZI -- Unofficial Use of Government Resources

- **Allegations of the unofficial use (misuse) of government-owned resources. Use specific codes below**
  - **ZI1 -- Phone DSN/COML**
  - **ZI2 -- Computers**
  - **ZI3 -- Govt Owned Vehicle**
  - **ZI4 -- Personnel**
  - **ZI5 -- Govt Travel Card**
  - **ZI6 -- IMPAC Credit Card**
  - **ZI7 -- Travel Benefits**

Assistance Part 1

Examples

- **A soldier complains about how PT is conducted**
  - **TE Unit PT Program & APFT**
- **A corporal complains about PLDC**
  - **TJ1 PLDC**
- **A Department of the Army Civilian (DAC) complains about unfair hiring**
  - **OC2 Unfair Hiring**

STEP 7: Close the IGAR
Agency / Command Codes

Assistance Part 1

- **Select the code that best identifies where the allegation, issue, or complaint exists**
  - **If your CG <u>can't fix</u> it, don't use your command code**

- **To find the Agency / Command Codes, start by finding the MACOM**

Agency / Command Codes

Assistance Part 1

1 First Army
3 Third Army
5 Fifth Army
7 Reserve Cmd
8 Eighth Army
A Army Audit Agency
B Criminal Invest Cmd
C Information Sys Cmd
D Dept of Army
E Europe & Seventh Army
F FORSCOM
G Govt Agencies
H MEDCOM
I Intel & Security Cmd
J Joint Activities
K Corps of Engineers
L Dept of Defense
M MTMC
N National Guard
O Other
P Pacific Command
Q Deployed Units
R Recruiting Command
S USARSO
T TRADOC
U MEPCOM
V Strategic Defense Cmd
W MDW
X AMC
Y Military Academy
Z Misc organizations

Assistance Part 1

Examples

- **A lieutenant who just transferred from Fort Knox, presents an IGAR about her out processing appointment**
  - **TA Fort Knox**

- **A sergeant needs help getting an allotment corrected here on Fort von Steuben**
  - **OTR Training Database (FVS)**

STEP 7: Close the IGAR Determination Codes: SNA

- **SUBSTANTIATED (S)**
  - **The conclusion of "substantiated" will be used when a preponderance of credible evidence exists to prove the allegation.**

- **NOT SUBSTANTIATED (N)**
  - **The conclusion of "not substantiated" will be used when a preponderance of credible evidence does not exist to support the allegation.**

Assistance Part 1

STEP 7: Close the IGAR Determination Codes: SNA

- **ASSISTANCE (A)**
  - **Providing advice or guidance**
  - **Request for assistance is resolved by the IG**
  - **Referral to an agency other than the IG to resolve the problem**

- **Example, a criminal complaint referred to MPI. The IG provided assistance by placing the complaint into the proper channels.**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-

IGAR
Close the Case in IGARs

Assistance Part 1

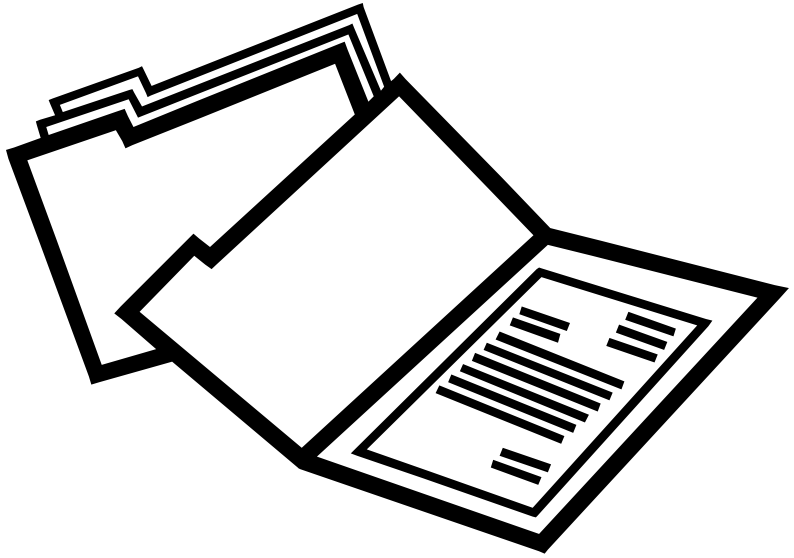
- **Complete synopsis**
  - **Stand-alone document**
  - **Who, what, when, where, and how**

A&I Guide, Chap. 3

STEP 7: Close the IGAR
Make Appropriate Reports

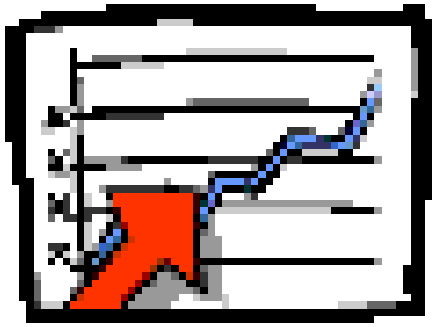
Assistance Part 1

- **These reports are covered in your Standard Operating Procedures (SOP)**



STEP 7: Close the IGAR
IGAR Analysis

- **Trends**



- **Systemic issues**
  - **Office workload**
  - **Most frequent function codes**
  - **Most substantiated function codes**
  - **Source of IGARs**

STEP 7: Close the IGAR

- **If complainant is not satisfied with response:**
  - **Reexamine inquiry and response for completeness**
  - **Refer to next higher IG**
  - ***Don't take it personally***

Case Notes

- **Chronological listing of case history used to fully identify the complainant, the allegations or assistance requested, the subject of the allegations, the actions you intend to take in resolving the case and the IG you will task to work the case. The date and the action officer's last name, for example: 30 Sep 03 (Smith), starts each case note entry.**

- **This is particularly helpful when a case is transferred to another action officer. This explains what you have done, whom you have spoken, their phone number, and what was said.**

Assistance Part 1

Example of Case Notes

25 Sep 03 (Smith) Received case. Complainant requested assistance in getting pay problem corrected. Phoned finance to inquiry into complainant's request. Mrs. Jones of the Ft. Belvoir finance officer (703) 805-1111 informed me that this problem was corrected and that the soldier should receive his correct pay on 1 Oct --.

The Seven-Step IGAP

Assistance Part 1

1. **Receive**
2. **Preliminary analysis (Issues / allegations, IG appropriate, acknowledge receipt, COA)**
3. **Refer & Notify**
4. **Fact-Finding**
5. **Notify**
6. **Follow-up**
7. **Close (Final reply, IGARs, reports, trends)**

Summary

- **When referring a case to the chain of command, do we keep the case open or close the case?** (slide #71)
- **IG Fact-Finding consists of what four items?** (slide #73)
- **In Step five, when making notification of results, what information do you provide to the complainant?** (slide #77)
- **In Step six, why do we conduct follow-up?** (slide #78)
- **Step seven, Close the IGAR, consists of what four things?** (slide #79)

A Simple Assistance Case

It’s Almost Too Easy . . .

STEP 1: Receive the IGAR

Assistance Part 1

- **Mrs. Williams states that her family has not received travel orders for their travel to Europe. Her husband is in Germany and signed for quarters one month ago, but no one knows what happened to the travel orders.**

STEP 2: Conduct IG PA

Assistance Part 1

- **Issue: Request for assistance in obtaining travel orders**
- **Appropriate for IG? Yes**
- **Acknowledge receipt: Send letter of acknowledgment to Mrs. Williams**
- **Course of action: Assistance inquiry**

Assistance Part 1

STEP 3: Initiate Referrals & Make Notifications

- **Referrals?**
  - **No**
- **Notifications?**
  - **Assistance inquiry**

STEP 4: IG Fact-Finding

Assistance Part 1

- **Contact the local Adjutant General (AG) or the G-1 to check on this matter**

STEP 5: Notification of Results

- **Phoned Mrs. Williams and explain what you learned from G-1**

Assistance Part 1

STEP 6: Follow Up

- **Checked back with Mrs. Williams to see if she received her travel orders**

STEP 7: Close the IGAR

Assistance Part 1

- **Send Mrs. Williams her final reply**
- **Function code?**
  - **NB5 - Family Member Travel**
- **Agency / Command Code?**
  - **OTR - Fort Von Steuben**
- **Determination Code? A**

Questions?